Attorney's Docket No. 38190/233565

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: David G. Beshore
Appl. No.: 09/848,519      Group Art Unit: To be assigned
Filed: May 4, 2001      Examiner: To be assigned
For: METHOD AND COMPUTER PROGRAM
PRODUCT FOR ASSESSING A PROCESS
OF AN ORGANIZATION

June 1, 2001

Commissioner for Patents
Washington, DC 20231

## INFORMATION DISCLOSURE STATEMENT
## CITATION UNDER 37 C.F.R. § 1.97

Sir:

Attached is a list of documents on form PTO-1449 together with a copy of each identified document. It is requested that the Examiner consider these documents and officially make them of record in accordance with the provisions of 37 C.F.R. § 1.97 and Section 609 of the MPEP. By submitting the listed documents, Applicant in no way makes any admission as to the prior art status of the listed documents, but is instead submitting the listed documents for the sake of full disclosure.

Respectfully submitted,

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| | | | Complete if Known | |
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| Substitute for form 1449A/PTO | | | | |
| **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** *(Use as many sheets as necessary)* | | Application Number | 09/848,519 | |
| | | Filing Date | 05/04/01 | |
| | | First Named Inventor | David G. Beshore | |
| | | Group Art Unit | To be assigned | |
| | | Examiner Name | To be assigned | |
| Sheet | 1 | of | 2 | Attorney Docket Number | 38190/233565 |

## U. S. PATENT DOCUMENTS

| Examiner Initials* | Cite No.[1] | U.S. Patent Document Number | Kind Code[2] (if known) | Name of Patentee or Applicant Of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear |
|---|---|---|---|---|---|---|
| | 1 | 5,737,494 | | Guinta et al. | 04-07-1998 | |
| | 2 | 5,893,098 | | Peters et al. | 04-06-1999 | |
| | 3 | 5,978,648 | | George et al. | 11-02-1999 | |
| | 4 | 5,987,149 | | Poor | 11-16-1999 | |
| | 5 | 6,092,060 | | Guinta et al. | 07-18-2000 | |
| | 6 | 6,151,581 | | Kraftson et al. | 11-21-2000 | |
| | 7 | 6,157,915 | | Bhaskaran et al. | 12-05-2000 | |
| | 8 | 6,161,101 | | Guinta et al. | 12-12-2000 | |
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## FOREIGN PATENT DOCUMENTS

| Examiner Initials | Cite No. | Foreign Patent Document Office[3] | Number[4] | Kind Code (if known)[5] | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T[6] |
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| Examiner Signature | | Date Considered | |
|---|---|---|---|

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] Unique citation designation number.
[2] See attached Kinds of U.S. Patent Documents.
[3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).
[4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.
[5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.
[6] Applicant is to place an "X" here if English language Translation is attached.

| Substitute for form 1449A/PTO | | | Complete if Known | |
|---|---|---|---|---|
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| | | | Group Art Unit | To be assigned |
| | | | Examiner Name | To be assigned |
| Sheet | 2 | of | 2 | Attorney Docket Number | 38190/233565 |

*(stamp: OIPE, JUN 04 2001, PATENT & TRADEMARK)*

## NON PATENT LITERATURE DOCUMENTS

| Examiner Initials | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T |
|---|---|---|---|
| | 9 | MARK C. PAULK, BILL CURTIS, MARY BETH CHRISSIS & CHARLES V. WEBER, *Capability Maturity Model, Version 1.1*, 10 IEEE SOFTWARE 18-27 (July 1993), *reprinted as, The Capability Maturity Model for Software, available at* <http://www.sei.cmu.edu/cmm/papers/cmm.pdf> (visited 2001), 26 total pages | |
| | 10 | MARK C. PAULK, *Effective CMM-Based Process Improvement*, PROCEEDINGS OF THE 6TH INT'L CONF. ON SOFTWARE QUALITY, OTTAWA, CAN. 226-237 (Oct. 28-31, 1996), *available at* <http://www.sei.cmu.edu/cmm/papers/effective-spi.pdf> (visited 2001), 12 total pages. | |
| | 11 | SOFTWARE ENGINEERING INSTITUTE (SEI), A SYSTEMS ENGINEERING CAPABILITY MATURITY MODEL, VERSION 1.1 (1995), *available at* <http://www.sei.cmu.edu/pub/documents/95.reports/pdf/mm003.95.pdf>, 70 selected pages. | |
| | 12 | ELECTRONIC INDUSTRIES ALLIANCE (EIA), SYSTEMS ENGINEERING CAPABILITY MODEL APPRAISAL METHOD, *available at* (last modified Feb. 26, 2001) <http://www.geia.org/sstc/G47/731dwnld.htm>, 161 total pages. | |
| | 13 | DONNA K. DUNAWAY & STEVE MASTERS, CMM$^{SM}$-BASED APPRAISAL FOR INTERNAL PROCESS IMPROVEMENT (CBA IPI): METHOD DESCRIPTION (1996), *available at* <http://www.sei.cmu.edu/pub/documents/96.reports/pdf/tr007.96.pdf>, 57 total pages. | |
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| Examiner Signature | | Date Considered | |
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